

Docket Number: 037003-0278069

PATENT APPLICATION

Client Reference: 1999-30-0525CP1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re the Application of

CHRISTINE A. WHITE

Application No.: 09/436,347

Group Art Unit: 1642

Filed: November 9, 1999

Examiner: Alana M. Harris

For: TREATMENT OF HEMATOLOGICAL MALIGNANCIES ASSOCIATED WITH  
CIRCULATING TUMOR CELLS USING CHIMERIC ANTI-CD20 ANTIBODY

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents  
P. O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Pursuant to 37 CFR 1.56, the attention of the Patent and Trademark Office is hereby directed to the reference(s) listed on the attached PTO-1449. One copy of each reference is submitted herewith. It is respectfully requested that the information be expressly considered during the prosecution of this application, and that the reference(s) be made of record therein and appear among the "References Cited" on any patent to issue therefrom.

This Information Disclosure Statement is being filed more than three months after the U.S. filing date AND after the mailing date of the first official action on the merits, but before the mailing date of a final rejection or notice of allowance. Payment of the requisite fee under 37 CFR 1.17(p) is enclosed.

05/20/2004 JADDO1 00000039 033975 09436347  
01 FC:1806 180.00 DA

Respectfully submitted,



Thomas A. Cawley, Jr., Ph.D.  
Registration Number 40944

Date: May 19, 2004  
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TAC/JBM:ntb

□□



Dra 1642

PTO/SB/17 (10-03)

Approved for use through 07/31/2006. OMB 0651-0032  
U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

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# FEE TRANSMITTAL for FY 2004

*Effective 10/01/2003. Patent fees are subject to annual revision.*

Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT	(\$)	180.00
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## Complete if Known

Application Number	09/436,347
Filing Date	November 9, 1999
First Named Inventor	CHRISTINE A WHITE
Examiner Name	A. Harris
Art Unit	1642
Attorney Docket No.	037003-0278069

## METHOD OF PAYMENT (check all that apply)

Check  Credit card  Money Order  Other  None

Deposit Account:

Deposit Account Number	033975
Deposit Account Name	PILLSBURY WINTHROP LLP

The Director is authorized to: (check all that apply)

Charge fee(s) indicated below  Credit any overpayments  
 Charge any additional fee(s) or any underpayment of fee(s)  
 Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity	Small Entity	Fee Description	Fee Paid
Fee Code (\$)	Fee Code (\$)		
1001 770	2001 385	Utility filing fee	
1002 340	2002 170	Design filing fee	
1003 530	2003 265	Plant filing fee	
1004 770	2004 385	Reissue filing fee	
1005 160	2005 80	Provisional filing fee	
<b>SUBTOTAL (1) (\$)</b>		<b>0.00</b>	

### 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims	-20** =	X	=	Fee Paid
Independent Claims	- 20** =	X	=	
Multiple Dependent	- 3** =	X	=	

Large Entity	Small Entity	Fee Description
Fee Code (\$)	Fee Code (\$)	
1202 18	2202 9	Claims in excess of 20
1201 86	2201 43	Independent claims in excess of 3
1203 290	2203 145	Multiple dependent claim, if not paid
1204 86	2204 43	** Reissue independent claims over original patent
1205 18	2205 9	** Reissue claims in excess of 20 and over original patent
<b>SUBTOTAL (2) (\$)</b>		<b>0.00</b>

\*\*or number previously paid, if greater; For Reissues, see above

## 3. ADDITIONAL FEES

Large Entity Small Entity

Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
1051 130	2051 65	Surcharge - late filing fee or oath	
1052 50	2052 25	Surcharge - late provisional filing fee or cover sheet	
1053 130	1053 130	Non-English specification	
1812 2,520	1812 2,520	For filing a request for ex parte reexamination	
1804 920*	1804 920*	Requesting publication of SIR prior to Examiner action	
1805 1,840*	1805 1,840*	Requesting publication of SIR after Examiner action	
1251 110	2251 55	Extension for reply within first month	
1252 420	2252 210	Extension for reply within second month	
1253 950	2253 475	Extension for reply within third month	
1254 1,480	2254 740	Extension for reply within fourth month	
1255 2,010	2255 1,005	Extension for reply within fifth month	
1401 330	2401 165	Notice of Appeal	
1402 330	2402 165	Filing brief in support of an appeal	
1403 290	2403 145	Request for oral hearing	
1451 1,510	1451 1,510	Petition to institute a public use proceeding	
1452 110	2452 55	Petition to revive - unavoidable	
1453 1,330	2453 665	Petition to revive - unintentional	
1501 1,330	2501 665	Utility issue fee (or reissue)	
1502 480	2502 240	Design issue fee	
1503 640	2503 320	Plant issue fee	
1460 130	1460 130	Petitions to the Commissioner	
1807 50	1807 50	Processing fee under 37 CFR 1.17(q)	
1806 180	1806 180	Submission of Information Disclosure Stmt	180.00
8021 40	8021 40	Recording each patent assignment per property (times number of properties)	
1809 770	2809 385	Filing a submission after final rejection (37 CFR 1.129(a))	
1810 770	2810 385	For each additional invention to be examined (37 CFR 1.129(b))	
1801 770	2801 385	Request for Continued Examination (RCE)	
1802 900	1802 900	Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

**SUBTOTAL (3) (\$)**

180.00

(Complete if applicable)

Name (Print/Type)	Thomas J. Cawley, Jr.	Registration No. (Attorney/Agent)	40944	Telephone	(703) 905-2144
Signature	<i>[Signature]</i>				
Date	May 19, 2004				

**WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

FORM PTO-1449 (modified)  
 To: U.S. Department of Commerce  
 (PW FORM PAT-1449)  
 Patent and Trademark Office



Atty. Dkt. No.	M#	Client Ref.
	037003-0278069	1998-30-0525CP1
Applicant: WHITE et al.		
Appln. No.: 09/436,347		
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Examiner: A. Harris		Group Art Unit: 1642

**INFORMATION DISCLOSURE STATEMENT  
BY APPLICANT**

Date: May 19, 2004

Page **1** of **1**

**U.S. PATENT DOCUMENTS**

Examiner's Initials*	Document Number	Date MM/YYYY	Name (Family Name of First Inventor)	Class	Sub Class	Filing Date (if appropriate)
AR	4,816,397	03/1989	Boss			
BR	4,816,567	03/1989	Cabilly			
CR	5,225,539	07/1993	Winter			
DR	5,500,362	03/1996	Robinson			
ER	5,530,101	06/1996	Queen			
FR	5,736,137	04/1998	Anderson			
GR	5,776,456	07/1998	Anderson			
HR	5,843,439	12/1998	Anderson			
IR						
JR						

**FOREIGN PATENT DOCUMENTS**

	Document Number	Date MM/YYYY	Country	Inventor Name	English Abstract		Translation Readily Available	
					Enclosed	No	Enclose	No
KR								
LR								
MR								
NR								
OR								
PR								

**OTHER (Including in this order Author, Title, Periodical Name, Date, Pertinent Pages, etc.)**

QR	Fisher DC, Abbeele A, Singer S, et al., "Phase 1 trial with CD40-activated follicular lymphoma cells: a novel cellular vaccine strategy for B cell malignancies [abstract]," <i>Blood</i> . 1998, 92:247a.
RR	O'Brien et al., "Lack of effect of 2-chlorodeoxyadenosine therapy in patients with chronic lymphocytic leukemia refractory to fludarabine therapy," <i>N Engl J Med.</i> , 1994, 330(5):319-22.
SR	Venogopal et al., "Cytokine-induced upregulation of CD20 antigen expression in chronic lymphocytic leukemia (CLL) cells may be limited to tumor cells [abstract], 1999 Pan Pacific Lymphoma Conference.
TR	Winkler et al., "Cytokine-release syndrome in patients with B-cell chronic lymphocytic leukemia and high lymphocyte counts after treatment with an anti-CD20 monoclonal antibody (rituximab IDEC-CB?),," <i>Blood</i> , 1999, 94:2217-2224.
VR	<i>Idec Pharmaceuticals v. Corixa Corp.</i> , Case No. 01-1637-IEG [Doc. Nos. 486, 584] (S.D. Cal. Oct. 14, 2003).
WR	<i>Biogen Idec v. Corixa Corp.</i> , Case No. 01-1637-IEG [Doc. Nos. 635, 662, 486] (S.D. Cal. Jan. 22, 2004).
XR	
YR	

Examiner	Date Considered:
*EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.	